



15866 U.S. PTO

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

19270 U.S. PTO
10/697541



In re Application of: BUCKWALTER et al.

Examiner: Not yet assigned

Serial No.: Not yet assigned

Group Art Unit: Not yet assigned

Filing Date: Filed herewith

Docket No.: G08.047/U

For: METHOD AND APPARATUS FOR
MONITORING AND EVALUATING
LIMIT ORDER TRADING

MS PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**UTILITY PATENT APPLICATION TRANSMITTAL
(Large Entity)**

Sir:

Transmitted herewith for filing under 35 USC 111(a) and 37 CFR 1.53(b) is a new utility patent application for an invention entitled: **METHOD AND APPARATUS FOR MONITORING AND EVALUATING LIMIT ORDER TRADING**

and invented by: **BUCKWALTER et al.**

Enclosed are:

1. ☒ Filing Fee as calculated and transmitted as described below
2. ☒ Specification having 38 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☒ Cross references to Related Applications (*if applicable*)

- c. ☐ Statement Regarding Federally-sponsored Research/Development
- d. ☐ Reference to Microfiche Appendix (*if applicable*)
- e. ☒ Background of the Invention
- f. ☒ Brief Summary of the Invention
- g. ☒ Brief Description of the Drawings (*if drawings filed*)
- h. ☒ Detailed Description
- i. ☒ Claim(s) as Classified Below
- j. ☒ Abstract of the Disclosure
- 3. ☒ Drawing(s) (*when necessary as prescribed by 35 USC 113*)
 - a. ☒ Formal Number of Sheets 12
 - b. ☐ Informal Number of Sheets
- 4. ☐ Oath or Declaration
 - a. ☐ Newly executed (*original or copy*) ☐ Unexecuted
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
 - c. ☐ With Power of Attorney ☐ Without Power of Attorney
 - d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the Prior Application, see 37. CFR 1.63(d)(2) and 1.33(b).
- 5. ☐ Incorporation By Reference (*usable if Box 4b is checked*)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- 6. ☐ Assignment Papers (*cover sheet & documents(s)*)
- 7. ☐ 37 CFR 3.73(B) Statement (*when there is an assignee*)
- 8. ☐ English Translation Document (*if applicable*)
- 9. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
- 10. ☐ Preliminary Amendment
- 11. ☒ Acknowledgement Postcard
- 12. ☒ Mailed Via
 - ☐ First Class ☒ Express Mail (*Specify Label No.*) **EL963891507US**
- 13. ☐ Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
- 14. ☐ Request and Certification under 35 USC 122(b)(2)(B)(i) (*attach PTO/SB/35*)
- 15. ☒ Additional Enclosures: Credit Card Payment Form

FEE CALCULATION

| For | No. Filed | No. Allowed | No. Extra | Rate | Fee |
|---|-----------|-------------|-----------|----------|-------------------|
| Total Claims | 40 | - 20 | 20 | \$ 18.00 | \$360.00 |
| Indep. Claims | 12 | - 3 | 9 | \$ 86.00 | \$774.00 |
| Multiple Dependent Claims (If applicable, please add \$ 290.00) | | | | | \$ 0.00 |
| BASIC FEE | | | | | \$770.00 |
| OTHER FEE (specify purpose): | | | | | \$0.00 |
| TOTAL FILING FEE | | | | | \$1,904.00 |

Credit Card Authorization for **\$1,904.00** is enclosed.

The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1852 as described below. A duplicate copy of this sheet is enclosed.

- ☒ Credit any overpayment.
- ☒ Charge any additional fees required under 37 CFR 1.16 and 1.17.

Respectfully submitted,



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October 30, 2003

Date